

## **Certified Public Accounting for MTA/MNRR Auditing Services**

CSO Solicitation No. 2173

### **THIS SOLICITATION IS BEING EXTENDED TO ALL INTERESTED FIRMS**

#### LEGAL NOTICE –

The Connecticut Department of Transportation (Department) is seeking to retain a Certified Public Accounting firm to provide consulting and auditing services of the Metropolitan Transportation Authority/Metro North Commuter Railroad. The services to be provided by the selected firm shall include, but are not limited to, reviewing and auditing financial operations, research projects, and commuter usage of the New Haven Line services and facilities as well as other financial related activities applicable to the three calendar years of 2013, 2014 and 2015. This contract is expected to start in January of 2013.

Firm's areas of expertise must include performing audits in accordance with Generally Accepted Auditing Standards.

If your firm would like to be considered for this assignment, your submittal should consist of a one-page letter of interest and a Department FORM CSO 255 with a maximum of four (4) resumes which are limited to two (2) pages each. One of the resumes must be that of the proposed Project Manager in charge of the work, as well as the assurance that he/she will be available for work when required (the CSO 255 form can be found online at [www.ct.gov/dot/consultant](http://www.ct.gov/dot/consultant)). **Four (4) copies of the submittal are required and they must be either postmarked by, or, if hand delivered, received by 4:00 p.m. on August 17, 2012.**

Included in the submittal, must be a brief narrative summarizing your firm's current workload, a copy of the firm's most recent peer review and letter of comments, and a narrative description of the proposed professional personnel who will be assigned including their qualifications, experience and expertise in: (1) performing surveys and analyzing the operations and budgets for transportation commuter service companies; (2) performing contract/compliance audits; and (3) auditing/consulting services of railroad operations and other related areas. The Licensure and Continuing Professional Education of the proposed Professional personnel must also be included.

Responding firms shall provide a statement of all contracts with the Department of Transportation, which are currently being performed and a statement as to whether the firm or firms performed services under any name other than the one appearing in the response.

Please be advised that a small business enterprise (SBE) set-aside requirement applies to this project. The set-aside requirement will be no less than 10% percent of the agreement value. Within the letter of interest submittal, you must include the designated certified Small Business Enterprise (SBE) sub consultant(s) which you plan to use. The SBE subconsultants must be currently certified by the Department of Administrative Services. All firms are advised that the prime consultant must perform the major part of the work with employees of the firm. Subconsultants may be used to comply with SBE requirements or perform specialized work. Joint venturing assignments will not be allowed.

Do not send additional documentation other than what is requested. The Consultant Selection Panel may reject your submittal, and your firm may not be considered for this project if you provide additional documentation such as corporate brochures, background information, and histories.

In accordance with the Connecticut General Statutes (CGS) Sections 4-252 and 4a-81, firms, once selected, must complete the Office of Policy and Management's (OPM) Ethics Form 1 (Gift and Campaign Contribution Certification, Rev. 11-29-11) and Form 5 (Consulting Agreement Affidavit, Rev. 10-01-11), prior to the agreement/contract execution. Forms 1 and 5 apply to all consulting agreements/contracts which have a total value to the State of fifty thousand dollars (\$50,000) or more in a calendar or fiscal year. Any consultant that does not complete the certification (Form 1) required under subsection (e) of CGS 4-252 or refuses to submit the affidavit (Form 5) required under subsection (c) of CGS 4a-81 shall be disqualified and the Department shall award the agreement/contract to the next highest ranked consultant or seek new submittals in accordance with subsection (d) of CGS 4-252 and subsection (d) of CGS 4a-81. Further information on these requirements can be obtained online at <http://www.ct.gov/opm> via the Ethics Affidavits link.

Please note, in an effort to streamline the certification and affidavit process for contract/agreement execution, the Department is requiring selected firms to upload Forms 1 and 5 on the Department of Administrative Services (DAS) Business Network ("BizNet") website. Further information can be found at <http://das.ct.gov/cr1.aspx?page=371>, to subscribe to Biznet and obtain directions to upload the forms following the "Vendor Guide to Uploading Affidavits and Nondiscrimination Forms Online (pdf)".

For all State contracts as defined in CGS § 9-612(g)(1) having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this submission in response to the State's solicitation expressly acknowledges receipt of the State Elections Enforcement Commission's Notice titled "Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations" (Notice) advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the Notice. The State Elections Enforcement Commission's Notice can be found online at [www.ct.gov/SEEC](http://www.ct.gov/SEEC) by clicking on the Forms link and then the Contractor Reporting Forms link. The Notice is hereby made a part of this solicitation.

Prior to the negotiation process, the selected firm will be required to have a Department-approved audit, affirmative action plan, as well as current corporate registration with the Secretary of State (partnerships excluded). The selected firm will also be required to maintain insurance coverage from a firm approved to do business in the State of Connecticut. Proof of coverage must be submitted on a form acceptable to the State prior to the start of negotiations.

Circumstances may require rescheduling or cancellation of projects and, should such action be necessary, ConnDOT would be under no obligation to provide supplementary work for the firm selected for this assignment. The Department reserves the right to award subsequent phases of an assignment to other qualified firms.

The Department reserves the right to add an additional project(s) of a similar nature for a separate selection, should additional projects become available prior to the interview phase of the selection process.

All submittals shall be addressed as follows:

Mr. Thomas Benevelli  
Supervising Accounts Examiner  
Office of Fiscal Management  
Connecticut Department of Transportation  
2800 Berlin Turnpike  
Newington, CT 06111

Hand delivered submittals must be brought to the front desk at the aforementioned address by 4 p.m. on **August 17, 2012**

**All inquiries regarding this request for letters of interest shall be directed to the Consultant Selection Office at 860-594-3017.**

Connecticut Department of Transportation  
An Equal Opportunity / Affirmative Action Employer